

## APPLICATION FOR RECORDS RETENTION SCHEDULE

860701-01

GEORGIA DEPARTMENT OF HUMAN RESOURCES  
DIVISION OF ADMINISTRATIVE SERVICES  
RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

<b>DHR</b>		<b>1. GEORGIA DEPARTMENT OF HUMAN RESOURCES</b>		<b>ARCHIVES AND HISTORY</b>	
Application Date 6/30/86		Division of Public Health Women, Infants, and Children Nutrition Program (WIC) 878 Peachtree St. N.E. -Room 218 Atlanta, Georgia 30309		Application Number 78-232-A	
Application Number 86-8				Date Received JUL 1 1986	
				Date Completed SEP 5 1986	
2. Person to Contact Wanda Argo		Working Title Program Coordinator		Telephone Number 894-6695	
3. Action Requested					
a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. change retention					
b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. change series title					
c. <input checked="" type="checkbox"/> Amend Application No. 78-232 Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void change records output to microfiche					
4. Dates of Series		5. Records Series Title (followed by title used in office, if different)			
Earliest 1980		Latest continuing			
		WIC Program Participation and Financial Reports			
6. Division and Office Function					
What is the function of the Division and the Office in which this record series is created?					
Same as previous schedule					
7. Records Series Description					
This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.					
Documents relating to: reviewing and certifying the accuracy of Program participation and financial reports prepared by district offices and local health clinics, and to compiling and submitting required State reports to the Food and Nutrition Service, U.S. Department of Agriculture.					
Included are: Computer output microfiche (COM) reports containing recipient eligibility and certification data; actual and projected Program participation data; number of persons on waiting lists; number of persons enrolled in the Program by category (i.e., pregnant, breastfeeding, and postpartum women, infants, and children) within established Program priority level; and itemized administrative and Program services funds expenditures.					
The file is arranged: Chronologically by date of report, then by name of report.					
8. Monthly Reference Rate					
How often are records referred to which are:					
One to six months old <u>Daily</u> ; Seven to twelve months old <u>Seldom</u> ; Thirteen to twenty-four months old <u>Seldom</u> ; twenty-five months and older <u>Seldom</u> ?					
9. Annual Rate of Accumulation or Records					
Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (Specify) <u>1 cubic foot</u>					

		If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. Privacy Act, Public Law 93-579, Section 552a, Records maintained on individuals.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
X		g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy. Data is reformatted and compiled into State reports to Federal Govt.
X		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? Original input documents created at district offices and health clinics.
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout? series is computer output microfiche

# 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |                |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years.   |
| b. Statute of limitation | _____ years. | e. Administrative need            | 4 _____ years. |
| c. Federal law           | _____ years. | f. Federal retention instructions | 3 _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need. See attached

(e) In order to document recipient eligibility and payment for services records are needed for four years. (See Attached)

(f) 7 CFR Ch. II, Section 246.25 requires records to be maintained 3 years and until resolution of any claim, litigation, or audit.

# 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

## COM Reports :

☐ Calendar Year; ☒ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☒ Hold in the current files area \_\_\_\_\_ month(s) 1 \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then
- ☒ Transfer to State Records Center; hold 3 \_\_\_\_\_ year(s); then
- ☒ Destroy
- ☐ Transfer to State Archives for permanent retention. \* Duplicate reports output on paper (computer printouts)
- ☒ Other (Specify)

Retain computer printouts as working copy only.  
Destroy when no longer needed for reference.

**NOTE:** If any litigation, claim, negotiation, audit or other action involving these records is started before the end of the required 3-year retention period, these records must be retained until all issues are resolved.

These instructions apply to all prior and future accumulation of records for this series title.

Signature	Date	Signature	Date
DHR Office/Division - Director/Designee		DHR Records Management Supervisor	
<i>William G. Johnson</i>	6/13/86	<i>Paul V. Murphy</i>	
DHR Section/Unit - Chief/Supervisor/Designee		DHR Records Management	
<i>Wanda Strog</i>	6/13/86	<i>Paul V. Murphy</i>	
<b>STATE RECORDS COMMITTEE</b>			
Retention recommendations in paragraph 12 are approved - If not approved, please attach a letter of explanation.	State Auditor/Designee	<i>W. H. Feller</i>	8.24.86
	Secretary of State/Designee	<i>Edward Weldon</i>	8/21/86
	Attorney General/Designee	<i>James H. Jones</i>	8/25/86

State and local health agencies participating in the special supplemental food programs for women, infants and children.

To maintain records of fiscal operations, food delivery systems, certification and recertification, racial and ethnic participation data and fair hearings, as indicated in section cited,

Retention period: 3 years following end of Federal fiscal year to which they pertain, or until resolution of an audit or any litigation. 7 CFR 246.9

# APPLICATION FOR RECORDS RETENTION SCHEDULE

GEORGIA DEPARTMENT OF HUMAN RESOURCES  
OFFICE OF ADMINISTRATIVE SERVICES  
RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

<b>DHR</b>	1. Department Address Ga. Dept. of Human Resources/ Div. of Physical Health Family Health Serv. Section/ W.I.C. Office / 618 Ponce de Leon Ave., N. E., Atlanta, Ga. 30306	<b>ARCHIVES AND HISTORY</b>
Application Date October 3, 1978		Application Number <b>78-232</b>
Application Number DHR-61		Date Received OCT - 3 1978
		Date Completed OCT 18 1978

2. Person to Contact Tim Nelms	Working Title Project Assistant	Telephone Number 894-4391
-----------------------------------	------------------------------------	------------------------------

3. Action Requested

a. ☒ Establish Retention Schedule; record will continue to accumulate.

b. ☐ Dispose of present accumulation; no further accumulation anticipated.

c. ☐ Amend Application No. \_\_\_\_\_ Check One: ☐ Change; ☐ Supersede; ☐ Void

4. Dates of Series Earliest 6/1/78	Latest to present	5. Records Series Title (followed by title used in office, if different) Women, Infants, and Children W.I.C. Participant/ Recipient Computer Printout Files
--	----------------------	---

6. Division and Office Function What is the function of the Division and the Office in which this record series is created?

The Family Health Services Section, under the leadership of the director, is responsible for promoting and coordinating family health programs as provided in the State and DHR. The programs include: Maternal/Child Health (family planning, perinatal, crippled children, child health, and services to women, infants and children[WIC]; Chronic Disease (disease prevention, patient services, and health care education); Communicable Disease (T.B., S.T.B., epidemiology, and immunization); and programs for pharmaceutical, nursing, nutrition, and dental services.

WIC Program provides consultation and training to, and program monitoring of, WIC programs operated by each health district; prepares all contracts with food stores which are used by the district health offices to supply certain food to eligible clients as determined by county health departments; pro-

7. Records Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.

Documents relating to: reporting and updating participant/ recipient eligibility and services rendered through the W.I.C. Office State-wide.

Included are: form 3990 (4-78) EP456 [Recipient Input Form] which shows information as to recipient and family, date, birthdate, address, phone no., authorized representative, vendor, termination date, recertified date, and other information from which the following computer printouts are generated: Recipient ID Number Order, Route Report, Voucher Register, Recipient Report, Recipient Update Listing, and WIC Edit Listing.

File is arranged: by month; thereunder, by recipient ID number, alphabetically by route number, alphabetically within clinic, or alphabetically within clinic site.

8. Monthly Reference Rate (Daily) How often are records referred to which are:

One to six months old 25-30 ; Seven to twelve months old        ; Thirteen to twenty-four months old        ; twenty-five months and older        ?

9. Annual Rate of Accumulation or Records (Monthly) 10 cu. ft.

Letter-size drawers        ; Legal-size drawers        ; Shelves        ; Other (Specify)

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. Confidentiality Policy - DHR Div. of Family & Children Services - client records
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
X		h. Is there a duplication of this series in your office, or in another office or agency? appropriate portions distributed to District Office and clinic
	X	i. Is this series (or a major portion of it) regularly microfilmed?
X		j. Does the record series result in a computer printout? from form 3990

#### 11. Retention Requirements

The following requires the series to be kept:

- |                          |              |                                   |              |
|--------------------------|--------------|-----------------------------------|--------------|
| a. State Law             | _____ years. | d. Audit period                   | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need            | 2 months     |
| c. Federal law           | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

copy attached

#### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☒ Other monthly then,

- ☒ Hold in the current files area 2 month(s) \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then
- ☐ Transfer to State Records Center; hold \_\_\_\_\_ year(s); then
- ☒ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
Cynthia Perkins / w3	10-2-78	Elizabeth W. Crank Elizabeth W. Crank, CRM	10/2/78

  

State Records Committee (Signature)	Date
State Auditor/Designee	10-17-78
Secretary of State/Designee	10-13-78
Attorney General/Designee	10-17-78

Recommendations in paragraph 12 are approved.  
(If disapproved, attach letter of explanation.)

Application for Records Retention Schedule

W.I.C. Participant/ Recipient Computer Printout Files

Continuation page - 3

6. cesses district health offices' claims for reimbursement for payments made to the food store; and prepares the required Federal reports for this Federally-funded program.

SECTION I - PUBLIC RECORDS

The State Attorney General has indicated that only those records which are required by State law are "Public" and therefore subject to the provisions of Georgia's "Open Records Act". Accordingly, it is the policy of the Department that:

- A. All "Public" records, except those which are otherwise protected by law or regulation, shall be open to inspection in the manner prescribed by law by regulation or by written policy of the individual Division of Office.
- B. Each Division or Office is responsible for arranging for the development and promulgation of an official DHR Regulation covering the description of and methods of access to all "Public" records within its area of responsibility, whenever the critical nature of the record indicates a need to regulate the use of or manner of access to such information.
- C. Except when requested through the use of proper judicial processes, access to such records shall be denied where the record, or its contents are expressly protected by State or Federal law or regulation.

SECTION II - RECORDS OTHER THAN "PUBLIC" RECORDS

The following policies shall apply to all records which are not a "Public" record as defined in Section I above and each Division and Office is charged with the responsibility of developing and disseminating to its staff members written instructions and procedural requirements necessary to effectuate these policies.

- A. Records of clients, patients, or other persons served by the Department, by local Departments of Health and Family and Children Services or by contract agents containing medical, social or other data about individuals shall not be made available for inspection to any person other than authorized personnel of the State, Local or Contract Agency, and the individual described, except when requested through the use of proper judicial processes or upon signed consent of the individual or his legal representative. Such records shall be safeguarded, specially labeled and otherwise officially regarded as "CONFIDENTIAL".
- B. Information included in those records which contain personal data about staff, employees, licenses, contract agents or other persons associated with the Department, the local Departments of Health and Family and Children Services, or contract agents shall not be divulged to other than authorized personnel of the State, local or Contract Agency, such persons, or their representatives except when requested through the use of proper judicial processes or upon signed consent of the individual or his legal representative, where the release of such information could reasonably be expected to be detrimental to the best interest of the employees, licensee or agent, or where such information might reasonably be expected